



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/773,098	02/05/2004	Robert J. Monson	3114.02US02	3282
38356	7590	05/22/2006	EXAMINER	
BROOKS & CAMERON, PLLC 1221 NICOLLET MALL #500 MINNEAPOLIS, MN 55403			HUGHES, JAMES P	
			ART UNIT	PAPER NUMBER
			2883	

DATE MAILED: 05/22/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

10/773,098

Applicant(s)

MONSON ET AL.

Examiner

James P. Hughes

Art Unit

2883

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 16 February 2006.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-19 is/are pending in the application.
- 4a) Of the above claim(s) 9-18 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-8 and 19 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 05 February 2004 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>092704</u> | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Election/Restrictions***

1. Applicant's election with traverse of the apparatus represented by claims 1-8 and 19 in the reply filed on February 16, 2006 is acknowledged. The traversal is on the ground(s) that there is not a sufficient burden on the examiner to search each invention because a search for one invention would likely find art relevant to the other invention. This is not found persuasive because there would be a serious burden of search as identified, in part, by the different classification of the inventions. Applicant additionally argues that claim 19 is a linking claim between the two inventions because it is a "means plus function" claim. This is not persuasive because the structural limitations for such a claim are distinct from the method invention as set forth in the restriction requirement. The requirement is still deemed proper and is therefore made FINAL.

2. Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 CFR 1.48(b) if one or more of the currently named inventors is no longer an inventor of at least one claim remaining in the application. Any amendment of inventorship must be accompanied by a request under 37 CFR 1.48(b) and by the fee required under 37 CFR 1.17(i).

### ***Drawings***

3. New corrected drawings in compliance with 37 CFR 1.121(d) are required in this application because they have numerous "hand drawn" aspects. Applicant is advised to employ

Art Unit: 2883

the services of a competent patent draftsman outside the Office, as the U.S. Patent and Trademark Office no longer prepares new drawings. The corrected drawings are required in reply to the Office action to avoid abandonment of the application. The requirement for corrected drawings will not be held in abeyance.

### ***Claim Objections***

4. Claims 9-18 are objected to because they are improperly labeled as “Original” rather than “Withdrawn” as they correspond to a non-elected invention. Applicant is reminded that claims 9-18 must be cancelled prior to allowance of the application. Appropriate correction is required.

5. Claim 19 is objected to for failing to provide antecedent basis for a claim limitation. The claim recites the limitation “the parallel optical transceiver packages” [emphasis added] (line 6), which, does not have an antecedent basis. The claim previously refers to a singular package, rather than a plurality of packages.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

6. Claim 19 is rejected under 35 U.S.C. 102(b) as being anticipated by Dudek et al.

(6,767,141). Dudek et al. (6,767,141), hereinafter referred to as “Dukek”, teaches an optoelectronic device integration tool for connecting an optoelectronic device to an electronic

Art Unit: 2883

substrate of a parallel optical transceiver package, the tool comprising: means for retaining the optoelectronic device (e.g. 12) within a mounting frame; means for securing the optoelectronic device (12) to the parallel optical transceiver package (e.g. 14) and means for securing the optoelectronic device (12) against the electronic substrate (e.g. 22) during the connection process. (See Col. 3, ll. 32 – Col. 4, ll. 65 and Fig. 2)

It is noted that the recited limitation of “during the connection process” (line 8) has not been given significant patentable weight as it comprises functional language and claims directed to an apparatus must be distinguished from the prior art in terms of structure rather than function. See MPEP 2114 and *In re Schreiber*, 128 F.3d 1473, 1477-78, 44 USPQ2d 1429, 1431-32 (Fed. Cir. 1997)

### ***Double Patenting***

The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the “right to exclude” granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

7. Claim 19 is rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claim 1 of U.S. Patent No. 7,035,521. Although the conflicting claims are not identical, they are not patentably distinct from each other because claim 1 of the 521' patent claims "A parallel optical transceiver package assembly tool for integration of an optoelectronic device, said tool comprising: a clamp base connected to the parallel optical transceiver package; a spring clamp frame hingedly connected to the clamp base allowing for rotational engagement with the optoelectronic device; and a clamp connected to the spring clamp frame for engaging the optoelectronic device." (Claim 1)

Regarding, claim 19; the 521' patent claims integration of an optoelectronic device, it does not recited an electronic substrate secured against the optoelectronic device. However, as substrates are notoriously well known in the art of optoelectronic devices, it would have been obvious to one of ordinary skill in the art at the time of the invention to employ an electronic substrate with the integration of the optoelectronic device of the 521' patent to give support and/or electrical connections to the optoelectronic device.

8. Claims 1-8 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-13 of U.S. Patent No. 7,035,521 in view of Sauter et al. (6,056,448). Claims 1-8 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-13 of U.S. Patent No. 7,035,521. Although the conflicting claims are not identical, they are not patentably distinct from each other because while the instant application recitation to a "a *rocker* plate clamp frame *pivotally* connected" [emphasis added] (line 5) would have been an obvious variant at the time of the invention to one

Art Unit: 2883

of ordinary skill in the art of the 521' patent's recitation of "a spring clamp *hingedly* connected to the clamp base" [emphasis added] (line 6 of claim 1) because they would provide functional equivalents.

Additionally, the 521' patent does not explicitly recite an MT connector or a VCSEL laser as part of the integrated optoelectronic device. However, as MT connectors and VCSEL lasers are well known in the art of integrated optoelectronic devices as taught for example by (Sauter), it would have been obvious to one of ordinary skill in the art at the time of the invention that MT connector and/or a VCSEL could be employed in the device of the 521' patent to allow the integrated optoelectronic device to be integrated into other standard communication systems.

9. Claim 19 is rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-13 of U.S. Patent No. 6,902,329 in view of Sauter et al. (6,056,448). Although the conflicting claims are not identical, they are not patentably distinct from each other because while the instant application recitation to a "a *rocker* plate clamp frame *pivotally* connected" [emphasis added] (line 5) would have been an obvious variant at the time of the invention to one of ordinary skill in the art of the 329' patent's recitation of "means for *rotating* the optoelectronic device relative to the electronic interface substrate" [emphasis added] (lines 12-13 of claim 6) because they would provide functional equivalents.

10. Claims 1-8 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 6-13 of U.S. Patent No. 6,902,329 in view of Sauter et al. (6,056,448). Although the conflicting claims are not identical, they are not patentably distinct

Art Unit: 2883

from each other because while the instant application recitation to a “a *rocker* plate clamp frame *pivotally* connected” [emphasis added] (line 5) would have been an obvious variant at the time of the invention to one of ordinary skill in the art of the 329’ patent’s recitation of “means for *rotating* the optoelectronic device relative to the electronic interface substrate” [emphasis added] (lines 12-13 of claim 6) because they would provide functional equivalents.

Additionally, the 329’ patent does not explicitly recite an MT connector or a VCSEL laser as part of the integrated optoelectronic device. However, as MT connectors and VCSEL lasers are well known in the art of integrated optoelectronic devices as taught for example by (Sauter), it would have been obvious to one of ordinary skill in the art at the time of the invention that MT connector and/or a VCSEL could be employed in the device of the 521’ patent to allow the integrated optoelectronic device to be integrated into other standard communication systems.

### *Allowable Subject Matter*

11. The following is a statement of reasons for the indication of allowable subject matter. Independent claim 1 is allowable because the prior art of record fails to teach or fairly suggest an apparatus, or means for, “a parallel optical transceiver package assembly tool for integration of an optoelectronic device with a parallel optical transceiver package, said tool comprising: a clamp base; ... a rocker plate clamp frame pivotally connected to the clamp base, a rocker plate pivotally connected to the rocker plate clamp frame for positioning the optoelectronic device”; in combination with the other recited limitations in the claim. Claims 2-8 are allowed by virtue of their dependence on claim 1.



Art Unit: 2883

It is noted that the term “rocker plate clamp” and “rocker plate” are sufficiently defined in the specification – e.g. lines 3-20 on page 12 and Fig. 7. Additionally, it is noted that the recitation to a “parallel optical transceiver package” (line 2) in the preamble has been given significant patentable weight because it is connected to recitation in the claim body. The claim body recites “a rocker plate clamp frame for positioning the optoelectronic device” (Line 9) which has its antecedent basis in the preamble recitation of “integration of an optoelectronic device with a parallel optical transceiver package” (line 2).

### *Conclusion*

12. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Monson et al. (6,896,421 and 2005/0036754) teach similar devices as claimed in the instant application. Catchmark et al. (6,921,215), Mitchell (2003/0223702), Pang et al. (6,851,867), and Marsh et al. (4,973,158) teach optoelectronic integration methods and tools.

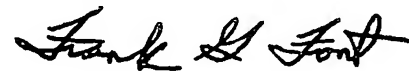
Any inquiry concerning this communication or earlier communications from the examiner should be directed to James P. Hughes whose telephone number is 571-272-2474. The examiner can normally be reached on Monday - Friday 9am - 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Frank Font can be reached on 571-272-2415. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2883

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

James P. Hughes  
Patent Examiner  
Art Unit 2883



Frank G. Font  
Supervisory Patent Examiner  
Technology Center 2800